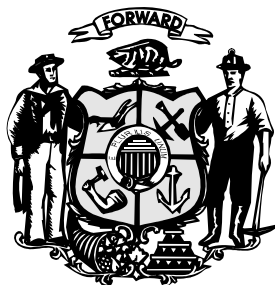


STATE OF WISCONSIN
Public Records Board

SCOTT WALKER
GOVERNOR

Georgia Thompson
Executive Secretary



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Minutes - Approved
Public Records Board
May 13, 2013; 1:30pm – 4:00pm
Legislative Audit Conference Room
22 East Mifflin Street, 4th Floor

Board Members Present: Matt Blessing, Bryan Naab, Sandra Broady-Rudd, Mary Burke, Carl Buesing, and Peter Sorce

Board Members Not Present: Melissa Schmidt and Scott Kowalski

- 1) **Call To Order:** The meeting was called to order at 1:32 PM. Matt Blessing introduced and welcomed the new Executive Secretary, Georgia Thompson. He also congratulated Kathryn Egeland on her recent promotion to Program and Policy Analyst. The board members each introduced themselves.
- 2) **Minutes from February 25, 2013:** The minutes were approved as amended. Carl Buesing/Sandra Broady-Rudd.
There was a discussion regarding posting the approved minutes to the PRB web page. Everyone agreed that posting the minutes is the best way to communicate the work of the PRB. The board members decided that posting the PRB minutes should be done, but committee minutes do not necessarily need to be posted as their topics and work products filter up to the board meetings. A motion was made to post the PRB minutes to the web page. Carl/Peter Sorce, approved.
- 3) **Comments from Chair:** Matt noted that it's great to have full staff support again. He discussed the ARMA Conference that was held May 2, 2013 at the Fluno Center in Madison. The PRB again sponsored the conference. This sponsorship is in name only and has no financial requirements. In turn the PRB gets lots of good publicity. This year Helmut Knies gave the welcome from the PRB. Matt asked Sandra to give an overview of the conference. The main focus was on big data, structured and unstructured. Many of the talks focused on a change management process and a shift in the overall records culture needed to achieve the changes. There were 90 people in attendance which included 13 people from Fitchburg. The attendance and topic show that records management is important to everyone and is continuing to grow and evolve.

Matt highlighted two training initiatives the historical society will be involved in that should begin late summer and early fall. Sarah Grimm, electronic records archivist at the historical society, has been working with Emily Pfotenhauer, Wisconsin Heritage Online, on a digital preservation outreach and education (DPOE) training initiative through the Library of Congress. Both will be offering this training throughout the state to local governments and academic libraries beginning this fall using the nationwide curriculum that has been developed. Also, the historical society has received a grant for \$237,000 from the Institute for Museum and Library services. This will fund a 20 month project that is intended to help cultural heritage agencies, local historical society's, museums, libraries, and other archival entities develop risk assessments, disaster recovery plans, and identify appropriate salvage vendors in the area. Currently, the historical society is recruiting for the consultant that will lead this project.

4) Committee Reports:

- a) **Records Management Committee:** Bryan Naab said the committee had its regular meeting and a teleconference this quarter. He noted that several Record Officers attended the

committee meeting. The submissions of those present were reviewed first. The committee members appreciated the attendance efforts made by so many record officers and their staff.

Bryan Naab distributed the minutes of the teleconference. He explained that the topic of the teleconference was the review and evaluation of submissions from local units of government. The discussion focused on the PRB's statutory responsibility and subsequent expectations of committee members during the review process. The distributed minutes note the specific statutes, 19.21 (5) (c) and 16.61 (3) (e), that directly relate to this topic. The last paragraph of the minutes reflects the committees' agreements and expectations based on the statutes directives. Everyone agreed the two main areas of focus are 1) ensuring the RDA's are clear and understandable and 2) approval of retentions less than seven years in duration.

At the regular meeting several submissions were reviewed. The submissions from state agencies were fairly routine. Bryan pointed out that there were three submissions from local units of government. The review of Fond du Lac county's submission quickly became extensive so the committee decided to hold it from this quarter. Kathryn will communicate the committee's questions to the county and give guidance so the submission can be reviewed next quarter. The two village submissions had less significant concerns which were all addressed quickly and are on the index for approval today. The committee chose to approve these submissions with a couple retention requests that are shorter than the existing general schedule. This practice is typically not allowed, but the general schedules retention of permanent does not seem consistently appropriate, so a long-term retention of 50 years was allowed instead.

Mary Burke gave an overview of the Madison Police submission and the background for it. A recent federal case has made many law enforcement units evaluate their handling of records that have personal information attached to them. The records in this RDA, Form MV4000 (Uniform Motor Vehicle Accident Report), are required to be created by the Madison PD and other law enforcement agencies pursuant to Wis. Stat. 346.70(3m), but the Dept. of Transportation maintains the official record after the MV4000s are submitted by the law enforcement agencies. This RDA gives clear guidance to the Madison PD for disposition of these records upon confirmation that DOT has received the entire record.

A motion to approve the index as submitted was made. Bryan/Mary, approved.

- b) Records Resource Management Committee:** Sandra noted the committee was continuing to work on the web records guidance document. They hope to have a draft document vetted through several stakeholders before the next PRB meeting. She expects the draft will be ready for PRB review at the meeting in August.
- c) Records Officer Council:** Georgia Thompson reported that she and Kathryn encouraged all Records Officers to attend and participate in the meetings. The invitation was really well received with several new faces at the meetings, including the City of Madison and Dane County Record Officers. Additionally, a teleconference bridge has been offered for use. The council discussed and decided to begin keeping meeting minutes going forward. These will be distributed to all Record Officers once the council approves them.

Georgia gave several general schedule updates: Administrative, Public Relations and Communications Officer RDA's are being drafted and reviewed for addition to the existing schedule, led by Lynn Condrey: IT, a draft revision of the schedule should be done soon, led by Lois Mulder: Motor Vehicles is long expired and needs to move forward: Purchasing and Procurement, the workgroup has met a few times and anticipates having a draft vetted to stakeholders in the near future, led by Georgia Thompson and Lynn Condrey: Legal, a

completely new general schedule has been proposed, realistically, a committee will be formed in late 2013 or early 2014 which will probably take a full year to create the draft document. The remaining General Schedules will not expire until June 2016. The council intends to work on these schedules ahead of the expiration dates.

The council discussed the existing General Schedule introduction (boilerplate). The concern is should it be a stand-alone document referenced in each general schedule, as it is now, or incorporate it in to each general schedule. The discussion focused on the best way to get the introductory information to the staff that uses the schedules. The final decision was to not change the placement of the introduction at this time.

5) Other Business:

- a) FY 14-15 State Budget Request from WHS:** Matt gave a status update on the WHS budget request submitted last September. Part of their proposal that would have directly affected the PRB included a request for a trusted digital repository and a database archivist position. These requests were direct recommendations from the 2006/2007 strategic planning process the board went thru. Currently the WHS has two staff members funded via a direct assessment to state agencies of the three recommended positions. This third archivist would have been funded via general purpose revenue to not increase the current assessments as larger agencies have a significant amount assessed to them already. In mid-February the recommendations were accepted by Governor Walker. On April 30, 2013 they were quickly rejected by the Joint Finance Committee. Matt received guidance from the WHS legislative liaison for a couple follow-up steps that might be taken to get the committee to reconsider the request, including sending a letter of thanks for recommending the request be approved to the Governor and his staff from the Governors appointees on the board and a follow-up letter to the committee reiterating the importance of the requests and asking for reconsideration.
- b) RDA Review – Financial and Legal Valuations:** Bryan and Mary were asked to explain each of their roles with respect to the RDA review process. Bryan briefly explained the scope of the Legislative Audit Bureau's (LAB) authority. The LAB has broad audit authority over everything except the UW curriculum. They have two divisions, Financial Audit and Program Evaluation, which primarily effect review of RDA's based on potential audit issues that may arise. Bryan is in the Financial Audit division. During his review Bryan looks to see if the RDA is 1) financially related, 2) if the retention is long enough for audit purposes and 3) if the records are something the Program Evaluation division would look at. Bryan spoke specifically about grant records and their appropriate retention.

Mary noted that the Dept. of Justice representative's role is two-fold, clarity and red flags. The Dept. of Justice representative's role is not a substitute for the submitting agency's own legal work. During the review process she checks to see if a RDA is clear and understandable. The RDA should make sense, be internally consistent ensuring that all of the boxes match, and it should be consistent with the agencies other RDA's. Not every legal citation can be double checked during the review process, but red flags are noted for follow-up by the submitting agency. Mary said confidential citations are often over generalized. Depending on the description she will inquire as to which part of the record is really confidential or whether other confidentiality provisions may apply. The other main focus of review is if the retention is long enough, or too long, for litigation purposes. Mary mentioned there were several county and municipal submissions this quarter which were extensive. Kathryn provided notated copies of their submissions for review to the committee which was very helpful.

Both Bryan and Mary said they look for submissions that may be covered on a general schedule instead of an agency specific RDA.

- c) Records Training:** Georgia discussed the training initiative the Record Officer Council has decided to focus on. The goal is provide consistent records management training at all levels for a variety of audiences. Many agencies have their own training which the council may be able to consolidate or adjust. The council should have specifics to present to the board to ensure their focus is consistent with the board's goals at the next meeting. Board members pointed out a few items to consider: they would like to see time for records management at OSER training for new supervisors, webinars may be tough for local units of government to utilize, and what has been successful in reaching various audiences via in-person seminars vs. web or computer based training.
- d) Other:** Georgia asked if the current distribution of meeting minutes is acceptable. Everyone said it was. There was a brief discussion about board members and committee assignments. The makeup of the policy committee was discussed. Peter said he would be willing to be on the policy committee. Georgia said she has been contacted by Ron Last regarding the Records Management Committee. Some board members thought he may be a better fit on the policy committee. Georgia will follow-up.

Meeting Adjourned at 3:41 PM.

Next regular meeting August 19, 2013, 1:30 – 4:00pm. Legislative Audit Bureau Conference Room, 4th Floor.